

HiCAMS User Guide

Chapter 3: Contract Adjustments

Section 1A: Review Claims - FHWA

Contents

About Claims

Entering FHWA Concurrence for a Claim

Sending Notifications

Window Definitions - Claims Window

Window Definitions - Issues Window

About Claims

The NCDOT Standard Specifications for Roads and Structures details the circumstances under which a Contractor is allowed to submit a claim for additional compensation or an extension of a contract time. Some of these circumstances include:

Spec Reference	Claim Category	Reason	Intent Required?
104 - 3	Compensation	Altered Work	Yes
104 - 4	Compensation	Suspension or Alleged Suspension	Yes
104 - 5	Compensation	Overruns or Underruns of Contract Quantities	No
104 - 6	Compensation	Eliminated Contract Line Items	No
104 - 7	Compensation	Extra Work	Yes
108 - 10(B)3	Time	Delays or Supplemental Agreements	No
108 - 10(B)4	Time	Additional Work, Overruns or Underruns, or Supplemental Agreements	No
108 - 13	Compensation	Termination of Contract	No

Claims are divided into two types, Active and Final. Active Claims are submitted during the life of the contract and the decision authority rests with the Divisions .

Final Claims are submitted to the Construction Unit in accordance with Section 109 - 10(C) of the Specifications.

Closeout Conferences where all issues are resolved are documented as a Final Claim by the Construction Unit. If all issues are not resolved, the resolved issues are entered as an Active claim, and the Contractor submits the remaining issues to the Construction Unit for consideration.

Claims for Contracts which have Step by Step oversight now require Federal Highway Administration Concurrence.

For additional information on Claims handling, please consult the current version of the NCDOT Construction Manual.

Entering FHWA Concurrence for a Claim

Most of the claims process occurs outside of HiCAMS. Documents include Claims Resolution forms and letters. HiCAMS provides a high level summary of the claim and creates the time extensions or compensation when a claim is approved.

With the implementation of Version 7.0, Federal Highway Administration is now able to signify its concurrence with the Claims decisions being made. A HiCAMS Notification can be sent or regular email or phone contact can initiate the request.

To enter an FHWA decision in the Claims window, go to **Functions > Contract Adjustments > Review Claims**. The Review Claims window opens.

Entering FHWA Concurrence for a Claim

Step 1: Enter the Contract Number whose Claim you wish to review.

Note: *It is also possible to navigate to the claim requiring input by clicking on the Go To button in the Notifications window.*

Step 2: Review the Claim Issues by clicking on the Issues button. The Issues window opens. The Issues window provides a summary of the claim details. Additional information can be obtained from the Resident Engineer assigned to the contract.

Step 3: After reviewing the claim issues, indicate FHWA Concurrence or Non Concurrence by selecting that choice from the drop down in the Status field. Enter your name and the date. A comment can also be entered but is not required.

Step 4: Save.

Step 5: The Resident Engineer can be notified by sending a HiCAMS notification. See the section titled "Sending Notifications" for details on how to send a HiCAMS notification.

Below is an example of how the claim will look after FHWA Concurrence has been indicated.

The screenshot shows the HiCAMS software interface with the following details:

- Contract:** C200869
- Contractor:** VECELLIO & GROGAN INC
- Status:** Activated
- Description (nickname):** I-540 OUTER LOOP R-2000F&G
- Step By Step:** ☒
- Notification:** [Button]

Claim ID	Claim Description	Claim Status
10	Overrun in Undercut Quantities on the Project and Final Grade Shallow Undercut Directive Delays.	Processed
11	Department Undercut Directive Delay of Wet Subgrade at -L- Near Buffalo Road Interchange	Processed
12	Overrun in Undercut Excavation Quantities	New
13	Drainage Modifications to Ramps A and B at the North South Connector -NSCONN-	New
14	Contractor seeks additional compensation for their subcontractor McCarthy Improvement (MCI). This claim is for c	FHWA Concurrence

Claim Details:

- Claim ID:** 14
- Type:** Active
- Status:** FHWA Concurrence
- Claim Description:** Contractor seeks additional compensation for their subcontractor McCarthy Improvement (MCI). This claim is for compensation for the previously submitted cost records submitted under NITFC # 16, 19 & 32.
- Issues:** [Button]
- Contractor Requested:** ☒ 01/07/2008
- DOT Received:** 01/07/2008
- DOT Initiated Claim:** ☐
- FHWA Authorized Representative:** T. D. Riggsbee
- FHWA Date:** 05/05/2008
- Comment:** [Text Area]

Sending Notifications

At this point in the claims process, you will have entered the claims and issue data. In many cases, you will have made your decision. If you chose to Recommend a decision, the person at the next approval level should be notified.

You may also need to notify the Roadway or Bridge Construction Engineer that a claim is available for review. This review action can be entered in HiCAMS before or after the claim decision is made.

Note: For Step by Step projects, a Notification should be sent to your designated Federal Highway Engineer for concurrence.

To send a notification about a claim, click the Notifications button on the main Review Claims window. The flexible Notification window opens. An example of this window is shown below.

Send Notifications To...

Notification: Contract: C201744 Claim (2) Claim Review Note

Send To:

- Johnson, PE, PLS, Phillip R
- Jernigan, PE, Dennis W

Notification Comment:

Please provide comments on this claim.

Send **Add Staff** **Delete Staff** **Cancel**

The notification opens with no assigned staff. Use the Add Staff button to open the Staff selection window and pick other users to notify.

Users who have been added can be deleted by highlighting their name and clicking the Delete Staff button.

The notification is sent by clicking the Send button. You can cancel the notification if you want to wait until later to send it by clicking the Cancel button.

You are also able to enter a customized Notification Comment.

Notifications are tracked on the Claims History tab.

Remember

1. Issues are approved and Claims are processed. It is now done in two separate steps.
2. It is possible to change an Issue after it has been Approved or Denied as long as it is before the Claim is Processed.
3. For specific help with entering claims on your project, please contact the Construction Unit at 919-733-2210.

Window Definitions - Claims Window

To work with the Claims window, go to **Functions > Contract Adjustments > Review Claims**. Enter the Contract Number whose Claims you wish to review.

Note: For information on ways to enter your contract number, see the User Guide "Getting Started" in the User Guides section of the HiCAMS home page.

Below is an example of the Review Claims window for contract C201712.

The screenshot shows the HiCAMS application window titled "HiCAMS - [testcon]". The main window is "Review Claims (C201712)". It displays the following information:

- Contract:** C201712
- Contractor:** BARNHILL CONTRACTING COMPANY
- Status:** Activated
- Description (nickname):** 2007 Durham Co. Resurfacing (Secondary)
- Step By Step:** ☐
- Notification:**

Claim ID	Claim Description	Claim Status
1	Contractor requests additional time due to alleged delay of Chapel Hill Rd availability. Contractor is requesting a time extension in the amount of 36 days.	In Process

Below the table, there is a detailed view of the selected claim (Claim ID: 1):

- Type:** Active
- Status:** In Process
- Issues:**
- Claim Description:** Contractor requests additional time due to alleged delay of Chapel Hill Rd availability. Contractor is requesting a time extension in the amount of 36 days.
- Contractor Requested:** 11/08/2007
- DOT Received:** 11/08/2007
- DOT Initiated Claim:** ☐
- FHWA Authorized Representative:**
- FHWA Date:**
- Comment:**

Tip: If you want to see the full claim description in the upper grid, you can Right-Click and select Word Wrap from the menu.

Column Definitions for the Review Claims Window

Claim ID: The sequential number assigned by HiCAMS as claims are entered into the system.

Claim Description: A brief description of the reason for which the contract time extension or additional compensation was requested.

Claim Status: Describes how far along in the claim approval process the claim is. The possible statuses are as follows:

New: Indicates that information about the claim has been entered but no issues have been assigned to it. Claims in this status can still be changed.

In Process: Indicates that Issues have been entered for the claim. The issues may or may not be approved, denied, or voided. Claims in this status can still be changed.

FHWA-Concurrence or FHWA Non-Concurrence: Indicates that a Federal Highway representative has authorized FHWA participation in the claim payment. Claims in this status can still be changed.

Processed: Indicates that all issues have been reviewed and action taken on them AND that the time and/or compensation granted has been posted to the contract by extending a contract time and/or creating a pay record. Claims in this status can no longer be changed.

Void: Indicates that the claim is no longer needed either because it was resolved in another way (closeout conference, Supplemental Agreement, Force Account, etc.) or was in error. Claims in this status can no longer be changed.

Information about the Review Claims Tabs

Claim Tab Definitions:

The screenshot shows the 'Review Claims' window in HiCAMS. At the top, there are tabs for 'Claim', 'Line Item', 'WBS', and 'History'. The 'Claim' tab is selected. Below the tabs, the following information is displayed:

- Claim ID:** 5
- Type:** Active
- Status:** Processed
- Claim Description:** Contractor requests additional compensation due to revision of Northbound -L- alignment at the Tryon Road bridge.
- Contractor Requested:** 07/12/2007 (selected with a radio button)
- DOT Received:** 07/12/2007
- DOT Initiated Claim:** (unselected with a radio button)
- FHWA Authorized Representative:** (empty field)
- FHWA Date:** 00/00/0000
- Comment:** (empty text area)

There is an 'Issues' button in the top right corner. The status bar at the bottom left shows 'Ready'.

Claim ID: The sequential number assigned by HiCAMS as claims are entered into the system.

Claim Type: The Claim type is either Active or Final. Active claims are submitted during the life of the contract. Final Claims are submitted as part of the Final Estimate process.

Claim Status: Describes how far along in the claim approval process the claim is. See possible statuses in the definitions for the Review Claims window above.

Issues button: Provides access to the Review Issues window.

Claim Description: A brief explanation of the reason for which the contract time extension or additional compensation was requested.

Contractor Requested: If the claim was submitted by the contractor, displays the date of the Contractor's letter.

DOT Received: If the claim was submitted by the contractor, displays the date the Contractor's letter was received at the Resident Engineer's office (Active claims) or the Construction Unit (Final claims).

DOT Initiated Claim: Displays the date the Department entered the claim.

DOT Initiated By: Displays the user who determined that a claim should be entered.

FHWA Authorized Representative: On Step by Step contracts, the name of the Federal Highway Administration's employee responsible for oversight on this contract.

FHWA Date: Displays the date the FHWA employee made a decision about concurrence for the claim.

Comment: Displays the most recent comment made for this claim.

Line Item Tab Definitions:

Claim	Line Item	WBS	History		
Line Item	Cont Adj	Description	Quantity	Unit Price	Amount
132C5		Contractor requests additional compensation due to revision	45,276.000	\$1.0000	\$45,276.000

Line Item: The sequential number assigned by HiCAMS when the claim was processed and a line item was created for payment.

Cont Adj: Claims are identified by a C prefix, and the sequential number assigned when the claim was entered.

Description: The line item description printed on the estimate report.

Quantity: The amount of payment approved for all issues on a claim.

Unit Price: This is always \$1.0000.

Amount: The Quantity multiplied by the Unit Price.

WBS Tab Definitions:

Claim	Line Item	WBS	History					
Claim WBS Line Item(s):								
WBS	Line Item	Cont Adj	Description	Non Part	Quantity	Unit Price	Amount	
34897.3.4	132	C5	Contractor requests additional compensation due t		45,276.000	\$1.0000	\$45,276.000	

WBS: The work order providing the funding for this payment.

Line Item: The sequential number assigned by HiCAMS when the claim was processed and a line item was created for payment.

Cont Adj: Claims are identified by a C prefix, and the sequential number assigned when the claim was entered.

Description: The line item description printed on the estimate report.

Non Part: A 1 (one) in this column indicates that Federal Funds are not being used for this payment.

Quantity: The amount of payment approved for all issues on a claim.

Unit Price: This is always \$1.0000.

Amount: The Quantity multiplied by the Unit Price.

History Tab Definitions:

Action	Who	Action date	Status
Set Status	Cadmus Capehart, PE	5/2/2008 15:04:00	Processed
Send Notification	Cadmus Capehart, PE	5/1/2008 16:55:00	In Process
Send Notification	Cadmus Capehart, PE	4/29/2008 18:06:00	In Process
Set Status	Cadmus Capehart, PE	4/29/2008 15:53:00	In Process
Create	Cadmus Capehart, PE	4/29/2008 13:29:00	New

Comment:

Ready

Action: Shows what was done to the claim. Actions include Create, Set Status, and Send Notification.

Note: All claims that were entered in HiCAMS before May 2, 2008, will have an Action record of Conversion. History records have been constructed from the data in the former system.

Who: The display name of the person who took the action.

Action Date: The date that the action was set in HiCAMS. This date and time are system generated.

Status: Describes how far along in the claim approval process the claim is.

Comment: Displays the most recent comment made for this claim.

Window Definitions - Issues Window

To work with the Issues window, go to **Functions > Contract Adjustments > Review Claims**. Enter the Contract Number whose Claims you wish to review.

Note: For information on ways to enter your contract number, see the User Guide "Getting Started" in the User Guides section of the HiCAMS home page.

Once the claim window is opened to your contract, the Issues can be accessed either by clicking on the Issues button or by double-clicking anywhere on the row of the claim whose issues you wish to review.

An example of the Review Issues window for contract C201712, Claim 1 is shown on the next page.

HiCAMS - [testcna]

File Edit Functions Inquiries References Admin Tools Window Help

Review Issues (C201712,1)

Contract: C201712 Contractor: BARNHILL CONTRACTING COMPANY Status: Activated

Description (nickname): 2007 Durham Co. Resurfacing (Secondary)

Claim ID: 1 Type: Active Claim Status: In Process

Claim Description: Contractor requests additional time due to alleged delay of Chapel Hill Rd availability. Contractor is requesting a time extension in the amount of 36 days.

Filter by Issue Status: (All)

Issue ID	Issue Type	Issue Reason	Specification	Compensation Amt Requested	Compensation Amt Granted	Time Requested	Time Granted	Rate UOM	Issue Status
A	Time	Delay	108-10(B)3			36		Day(s)	Pending

General Contract Times History

Decision: [Dropdown]

Issue Description: Contractor requests additional time due to alleged delay of Map No. 1 (Chapel Hill Rd.) availability. Contractor is requesting a time extension in the amount of 36 days.

Delay Cause: Utility Conflict

Alleged Controlling Operation(s): 1"-3" Milling on Map No. 1 (Chapel Hill Rd.)

Actual Controlling Operation(s):

Comment:

Column Definitions for the Review Issues Window

Issue ID: The sequential letter assigned by HiCAMS as issues are entered into the system.

Issue Type: The kind of claim the contractor is making, either for additional Time or additional Compensation.

Issue Reason: The reason as detailed in the NCDOT Standard Specifications for Roads and Structures.

Specification: The specification corresponding to the reason selected.

Note: The reason and specification are linked in the selection table.

Compensation Amt Requested: The dollar amount of the contractor's request if the Issue Type is Compensation.

Compensation Amt Granted: The dollar amount awarded to the contractor when a Compensation Issue is Approved or Approved as Noted.

Time Requested: The number of additional time units that the contractor has requested if the Issue Type is Time.

Time Granted: The number of time units awarded to the contractor when a Time Issue is Approved or Approved as Noted.

Rate UOM: The time unit assigned to contract times, for instance, Day(s) or Hour(s). The rates displayed are those which are assigned to contract times on this contract.

Issue Status: Describes how far along in the issue approval process the issue is. The possible statuses are as follows:

Pending: Indicates that an Issue has been entered but no decision has been recorded.

Approved: Indicates that the contractor's request for time or money on an Issue has been granted and that the amount granted matches the contractor's request.

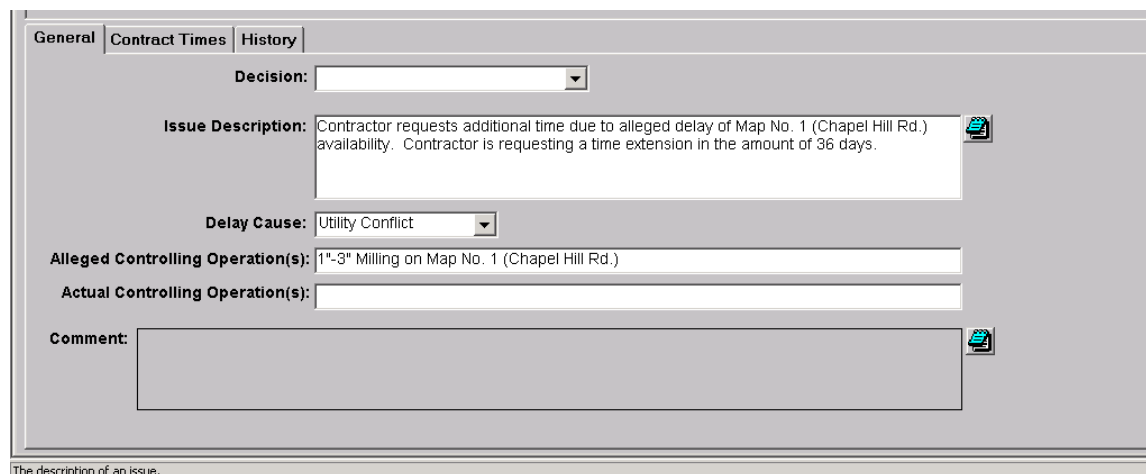
Approved as Noted: Generally indicates that the contractor's request for time or money on an Issue has been granted and that the amount granted does not match the contractor's request. This status can also be chosen when there are comments that need to be read as part of the claim review.

Denied: Indicates that the contractor's request for time or money on an Issue has been not been granted.

Void: Indicates that the Issue is no longer viable or was entered in error.

Information about the Review Issues Tabs

General Tab Definitions:



The screenshot shows a software interface for reviewing issues. The 'General' tab is selected, displaying fields for 'Decision', 'Issue Description', 'Delay Cause', 'Alleged Controlling Operation(s)', 'Actual Controlling Operation(s)', and 'Comment'. The 'Issue Description' field contains a detailed text entry about a contractor's request for a time extension due to a delay on Map No. 1. The 'Delay Cause' is set to 'Utility Conflict'. The 'Alleged Controlling Operation(s)' field contains '1\"

Decision: Available decisions are defined in the Claims Issue Authorization Maintenance window. To view this window, go to **Admin > Claims Authorization**.

Possible decisions are:

Approve	Recommend Approval
Approve as Noted	Recommend Approval as Noted
Deny	Recommend Denial

Users from the Federal Highway Administration are allowed to select FHWA Concurrence or FHWA Non-Concurrence.

Issue Description: Displays information specific to the highlighted issue.

Delay Cause: The general reason that the contractor is requesting a Contract Time Extension. Possible choices are:

Decision	Extra Work
Material Shortage	Other
Permit	Plan Error
Railroad	Staking
Submittal Approval	Suspension
Utility Conflict	Weather

Alleged Controlling Operation(s): The Controlling Operation identified by the Contractor.

Actual Controlling Operation(s): The Controlling Operation identified by the DOT.

Comment: Any additional information about the Issue.

Contract Times Tab Definitions:

General Contract Times History								
Cont Time	Cont Adj	Description	Completion Date	Substantial Compl Date	Revised Compl Date	Damages Rate	Substantial Compl Rate	Time Granted
00		OVERALL CONTRACT TIME	04/15/2006		06/26/2006	\$10,000.00	\$2,000.00	
01		WORK ON US-64, RAMPS A & D, L- FROM 469+01	10/15/2005		10/31/2005	\$10,000.00	\$2,000.00	
06		COMPLETE PHASE II, AREA 2, STEPS 1-3 IN 420	08/14/2005			\$500.00		
16		COMPLETE PHASE II, AREA 2, STEPS 2-5 IN 20	03/25/2006			\$5,000.00		
18		COMPLETE ALL LIGHTING WORK AT SIX FORK F	12/01/2004			\$2,000.00		

Ready

Contract Time: The CT number for Contract Times which have the same Rate Unit of Measure that was selected for the issue.

Cont Adj: If the contract time was added or modified by a Supplemental Agreement, the SA number will be displayed in this column.

Description: The contract time's short description.

Completion Date: The contract time's original contract completion date.

Substantial Compl(etion) Date: The contract time's substantial completion date, if specified.

Revised Compl(etion) Date: The contract time's completion date if extended by supplemental agreement, pro rata days, winter weather days, or other claims.

Damages Rate: The Liquidated Damages rate specified in the contract for the contract time.

Substantial Compl(etion) Rate: The Liquidated Damages rate specified in the contract for the substantial completion portion of a contract time.

Time granted: Number of time units each contract time has been extended. An entry must be made in at least one of the rows listed, as well as in the issue's Time Granted field in the upper window.

History Tab Definitions:

Action	Who	Action date	Status
Conversion	Generic Conversion User	4/28/2008 14:16:00	Denied
Deny	Dennis W. Jernigan, PE	1/28/2007 00:00:00	Denied
Recommend Denial	Tracy N. Parrott, PE	1/26/2007 16:24:00	Pending
Recommend Denial	Bob Shultes	12/27/2006 13:32:00	Pending

Comment: Conversion for Version 7.0

Action: The decisions made for this issue.

Who: The display name of the HiCAMS user who made the decision.

Note: All claims that existed in HiCAMS prior to the Version 7.0 Release will have a system generated Action of Conversion. The

history for this claims has been constructed from the Approval Tab in the previous version.

Action Date: The date that the decision was entered in HiCAMS. This date and time are system generated.

Status: Describes how far along in the issue approval process the issue is. See possible statuses in the definitions for the Review Issues window above.

Comment: Displays the most recent comment made for this claim.